



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE PATENT
APPLICATION OF: Joseph G. GATTO
SERIAL NO.: 09/524,253
ATTORNEY
DOCKET NO: 23449-009
FILING DATE: March 13, 2000
ART UNIT: 3624
EXAMINER: NARAYANSWAMY SUBRAMANIAN
FOR: SECURITY ANALYST ESTIMATES PERFORMANCE VIEWING SYSTEM AND
METHOD

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

SUBMISSION OF FORMAL DRAWINGS

Sir:

Applicant submits herewith thirty-three (33) sheets of formal drawings (Figs. 1-34) for the above-identified patent application. The Examiner is respectfully requested to acknowledge receipt of these formal drawings.

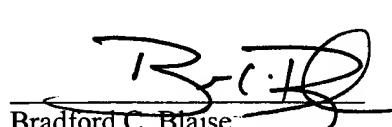
In the event any additional fees are incurred upon the filing of this document, please charge the undersigned's Deposit Account 50-0311.

Dated: September 29, 2003

Respectfully submitted,

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GROUP 3600


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703-464-4800

Customer No.
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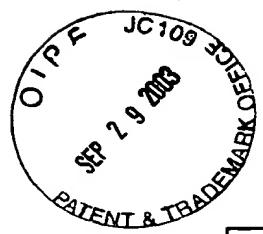
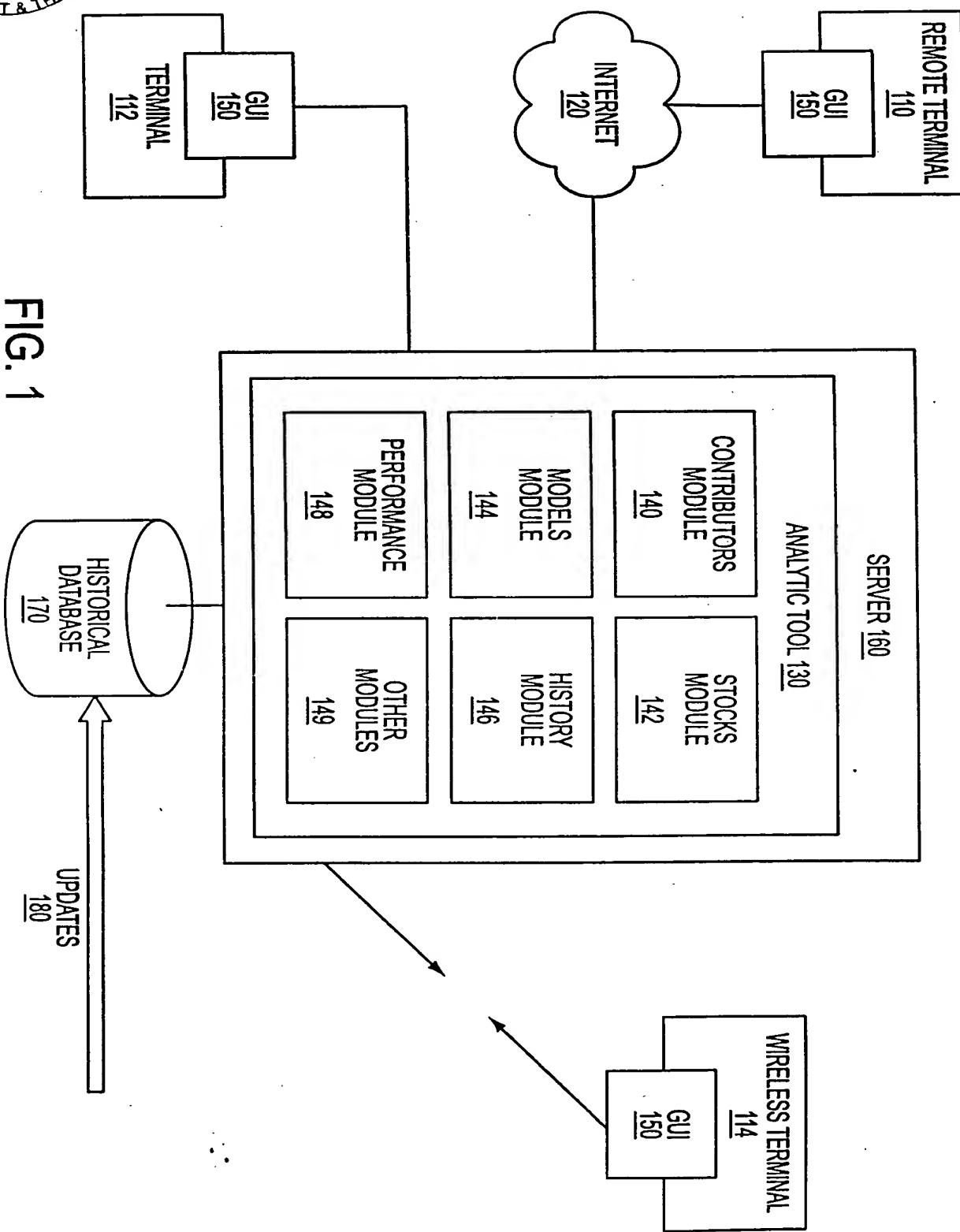


FIG. 1



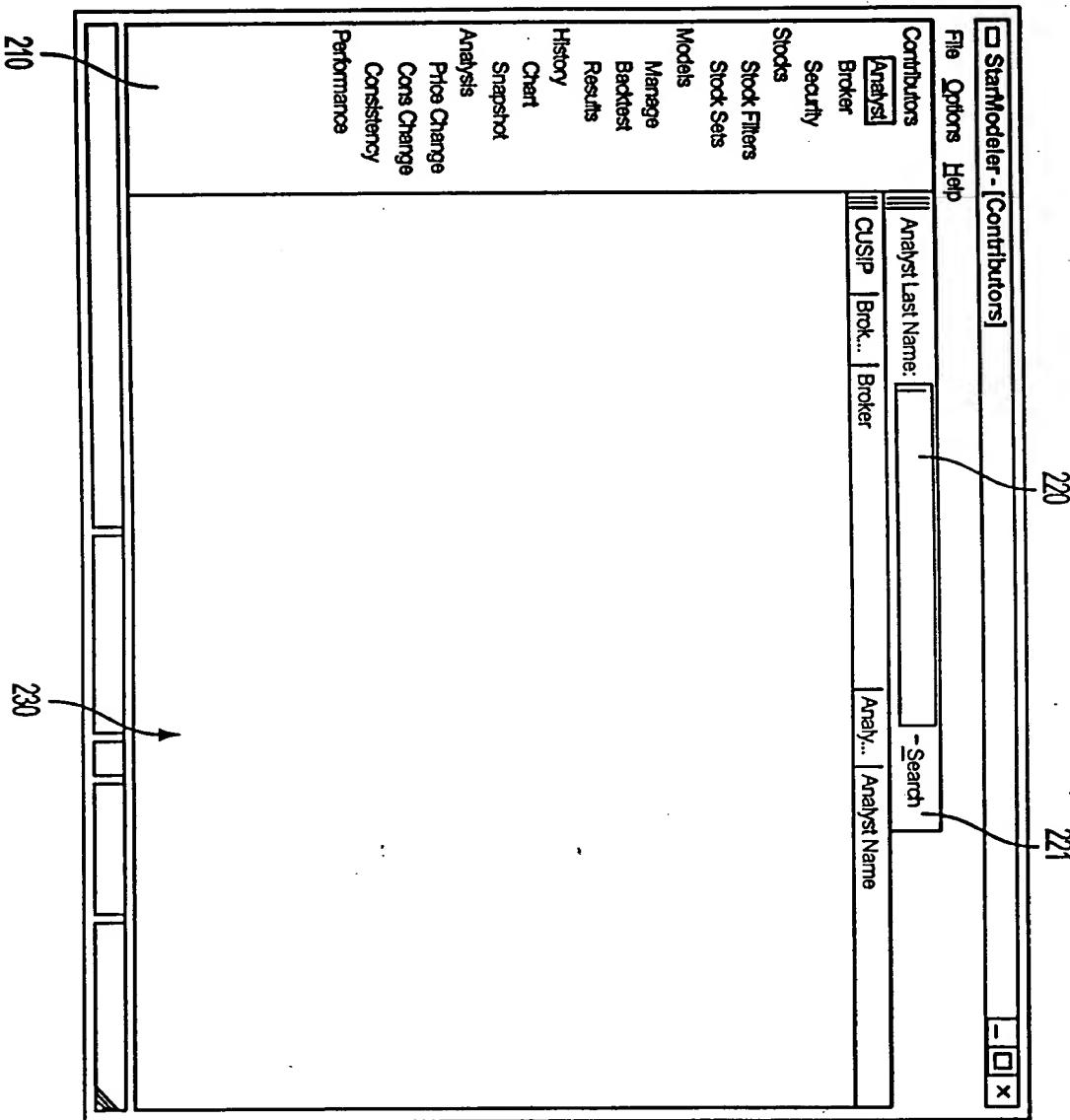
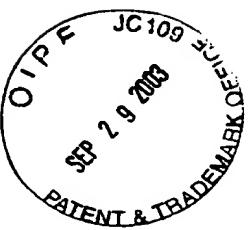


FIG. 2

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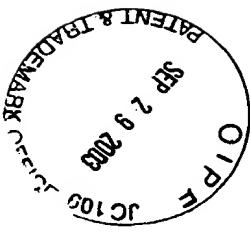
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Contributor Search

Analyst Name: <input type="text" value="Dube"/>		<input type="button" value="Search"/>
Analyst Name	Analyst ID	
Dube B	18084	◀
Dube S	7919	▶
Dubeau C	18847	

FIG. 3



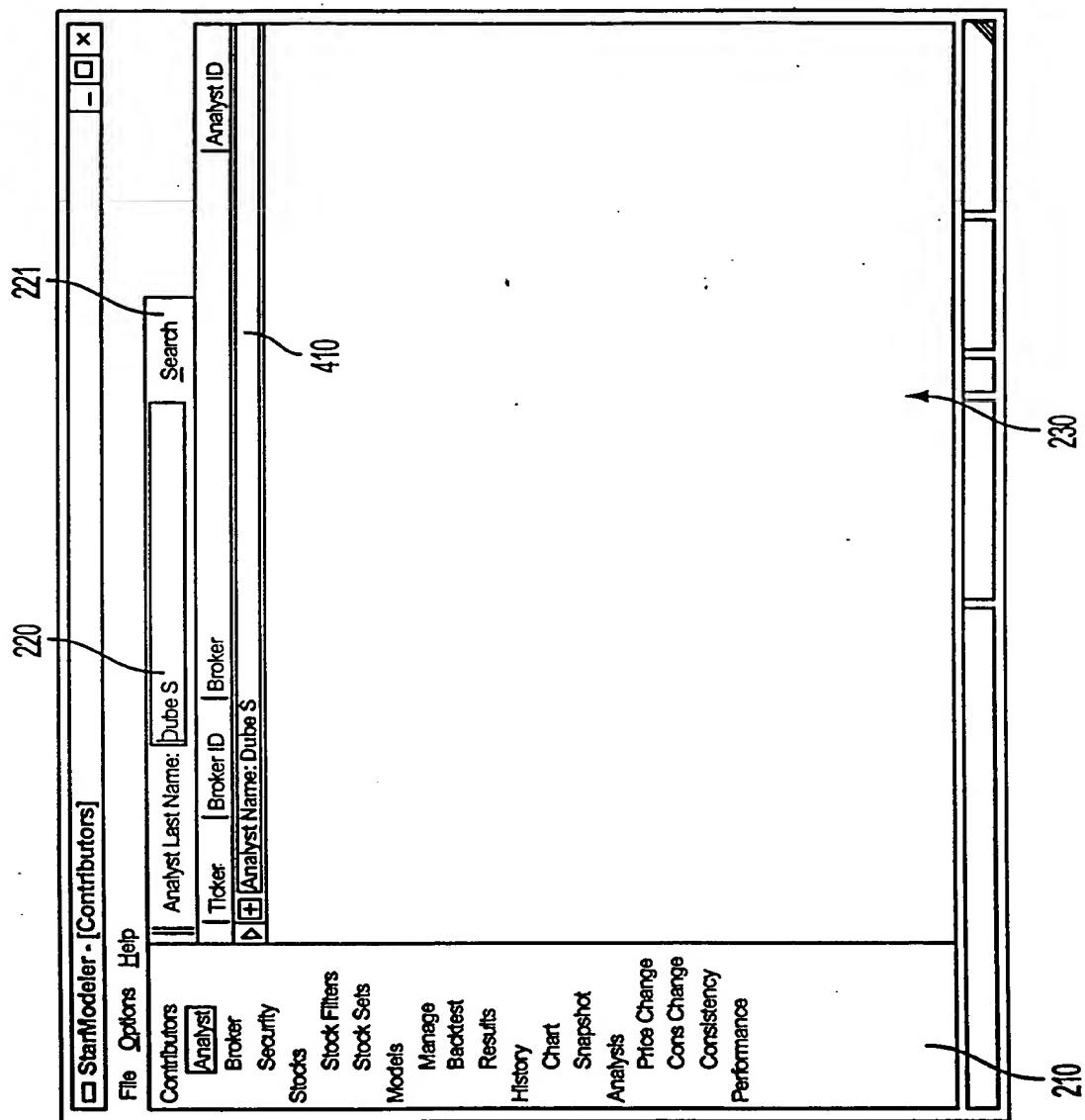
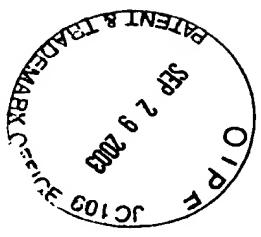


FIG. 4



StarModeler - [Contributors]

File Options Help

Contributors

Broker Analyst

Security

Stocks Stock Filters

Stock Sets

Models

Manage Backtest

Results

History

Chart

Snapshot

Analysis

Price Change

Cons Change

Consistency

Performance

Ticker Analyst ID Broker

Analyst Name: Dubé S

Search

Analyst ID ▲

Ticker	Analyst ID	Broker	Analyst ID
BGH	251	Lehman Brothers	7919
DEC	251	Lehman Brothers	7919
DGN	251	Lehman Brothers	7919
HON	251	Lehman Brothers	7919
HWP	251	Lehman Brothers	7919
IBM	251	Lehman Brothers	7919
MMM	251	Lehman Brothers	7919
NCR	251	Lehman Brothers	7919
PRM	251	Lehman Brothers	7919
SY	251	Lehman Brothers	7919
TNDM	251	Lehman Brothers	7919
WAN	251	Lehman Brothers	7919
BGH	308	Lehman Brothers Japan	7919
DEC	308	Lehman Brothers Japan	7919
DGN	308	Lehman Brothers Japan	7919
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IBM	308	Lehman Brothers Japan	7919
MMM	308	Lehman Brothers Japan	7919
NCR	308	Lehman Brothers Japan	7919
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FIG. 5

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StarModeler - [Contributors]

File Options Help

Broker: Wasserstein Perella & Co., Inc. Search

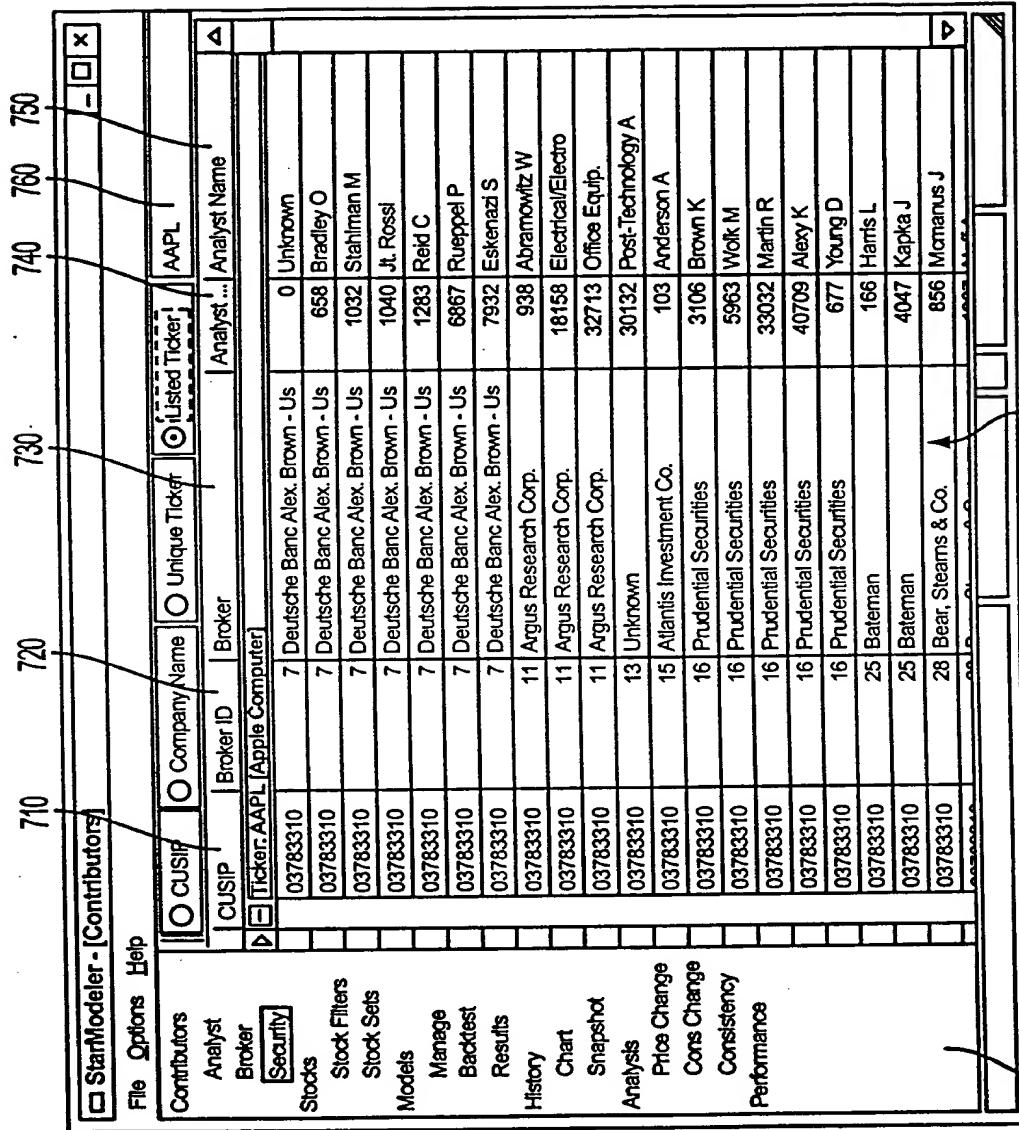
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Stocks	Broker: Wasserstein Perella & Co., Inc.			
Stock Filters	AAPL	1496	7919	Dube S
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Models	ACCX	1496	0	Unknown
Manage	ACCX	1496	45411	Loeb J
Backtest	ACXT	1496	45411	Loeb J
Results	ADPI	1496	46359	Childe J
History	AG	1496	233	Picoult M
Chart	ALLM	1496	233	Picoult M
Snapshot	AMB	1496	44862	Maguire W
Analysis	AMER	1496	52141	Klein W
Price Change	AMN	1496	45411	Loeb J
Cons Change	APA	1496	973	Ferretti P
Consistency	APC	1496	973	Ferretti P
Performance	ARGY	1496	9267	Schmitt W
	ARRO	1496	7283	Dunne R
	ART	1496	1374	Alorino E
	BA	1496	52828	San Pietro J
	BAX	1496	7283	Dunne R
	BBD	1496	52828	San Pietro J
	BCR	1496	7283	Dunne R

605

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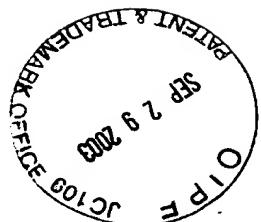
FIG. 6



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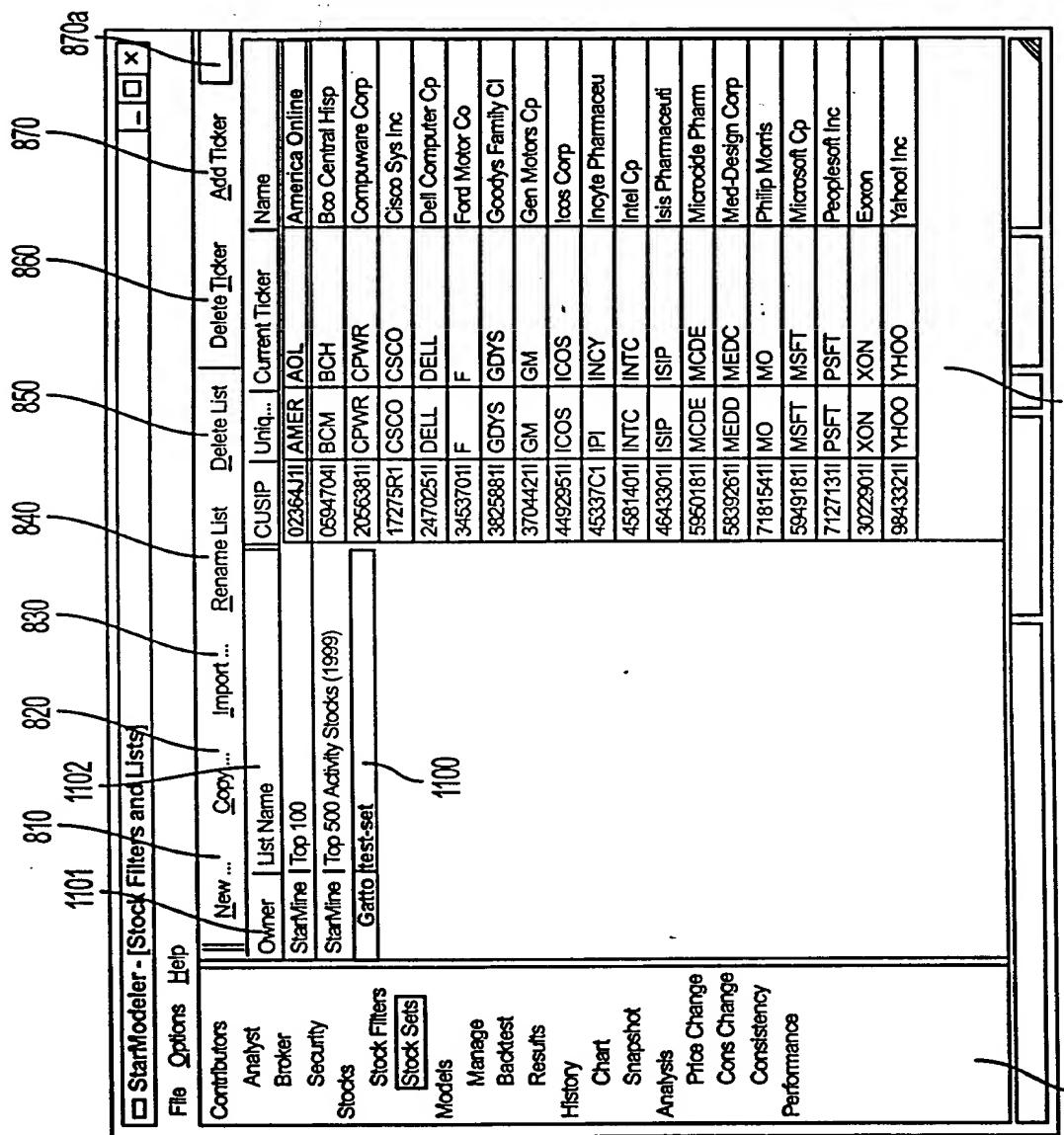
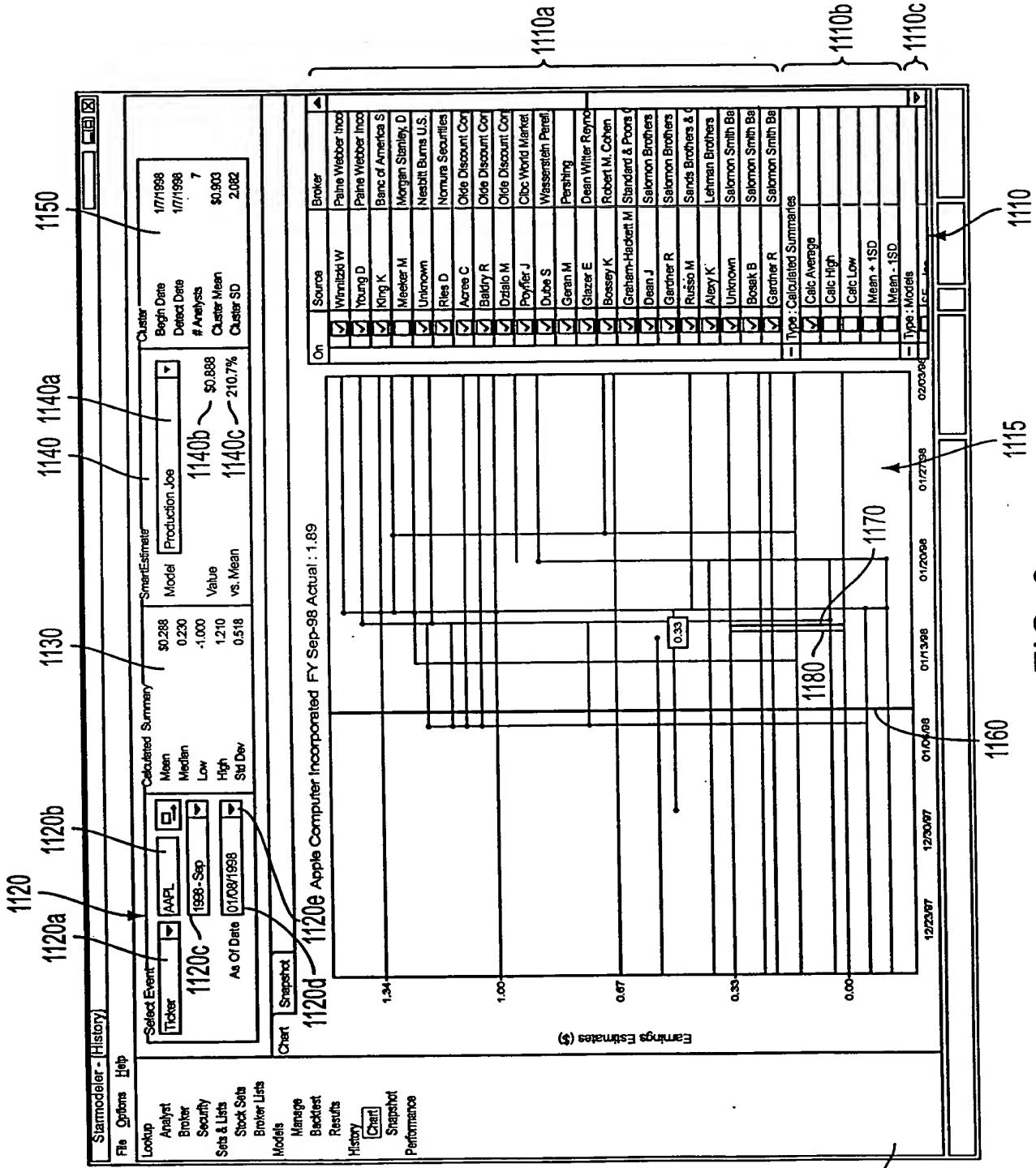


FIG. 8

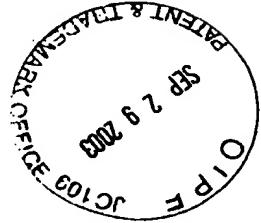
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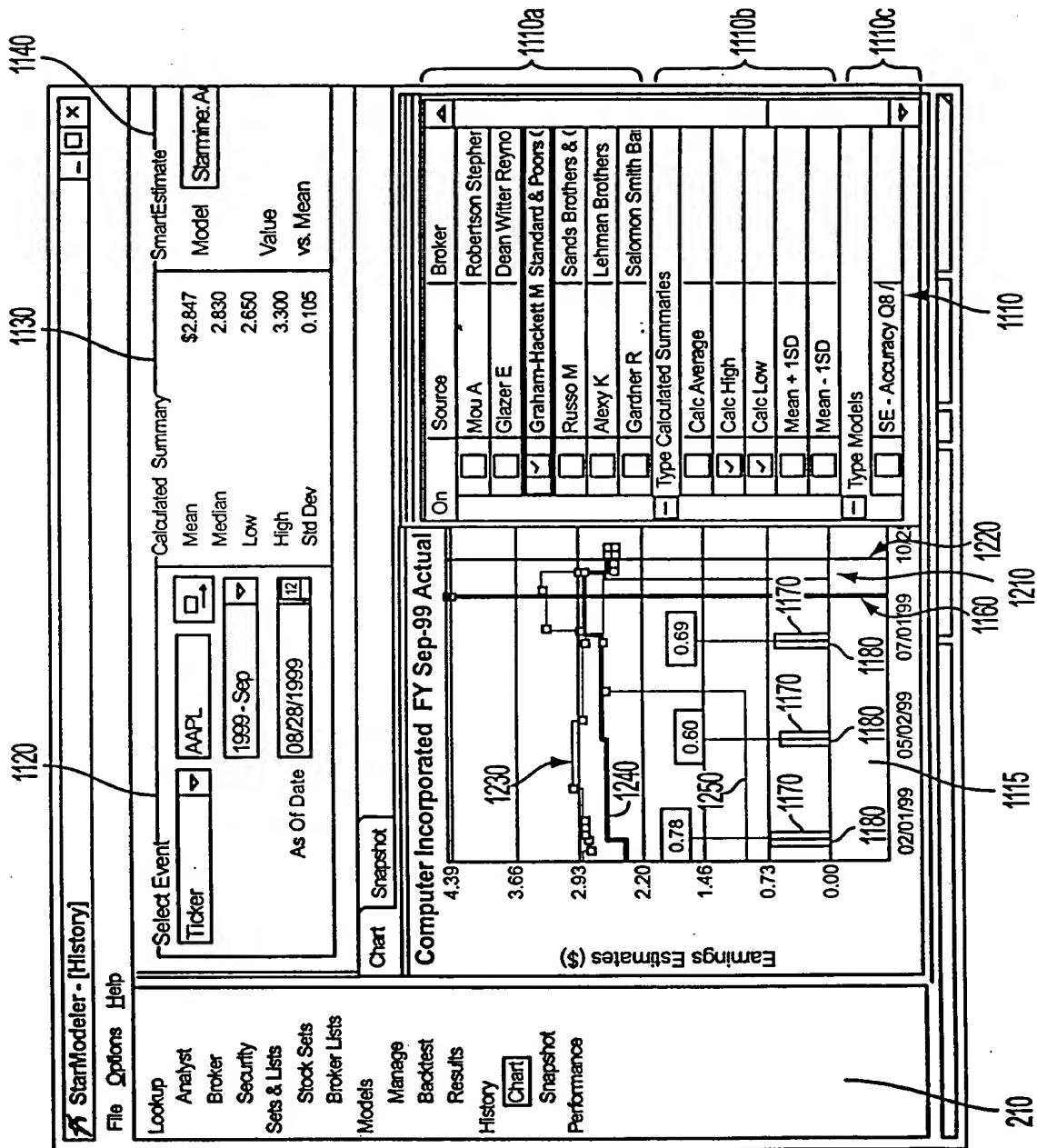


FIG. 10

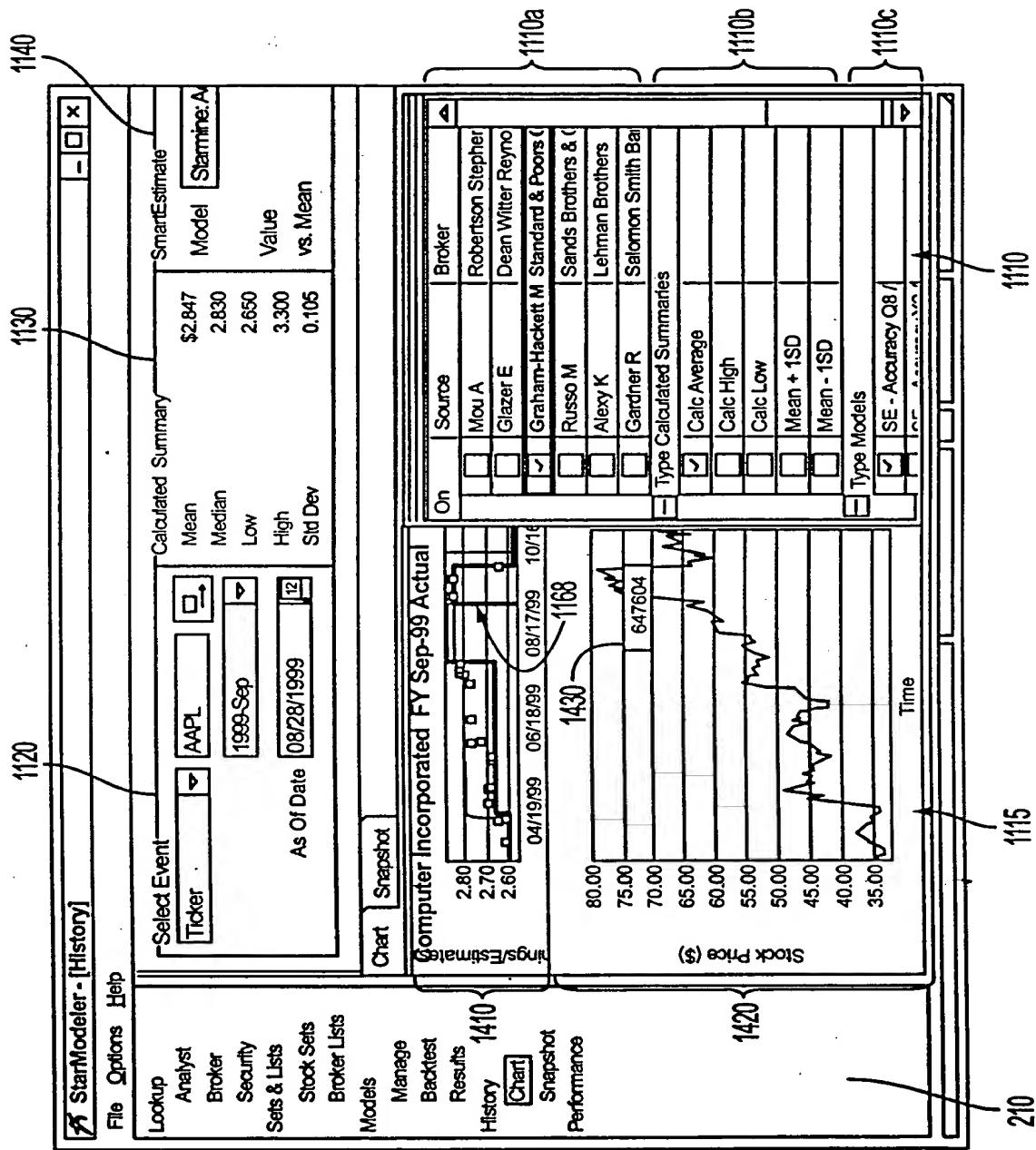


FIG. 11

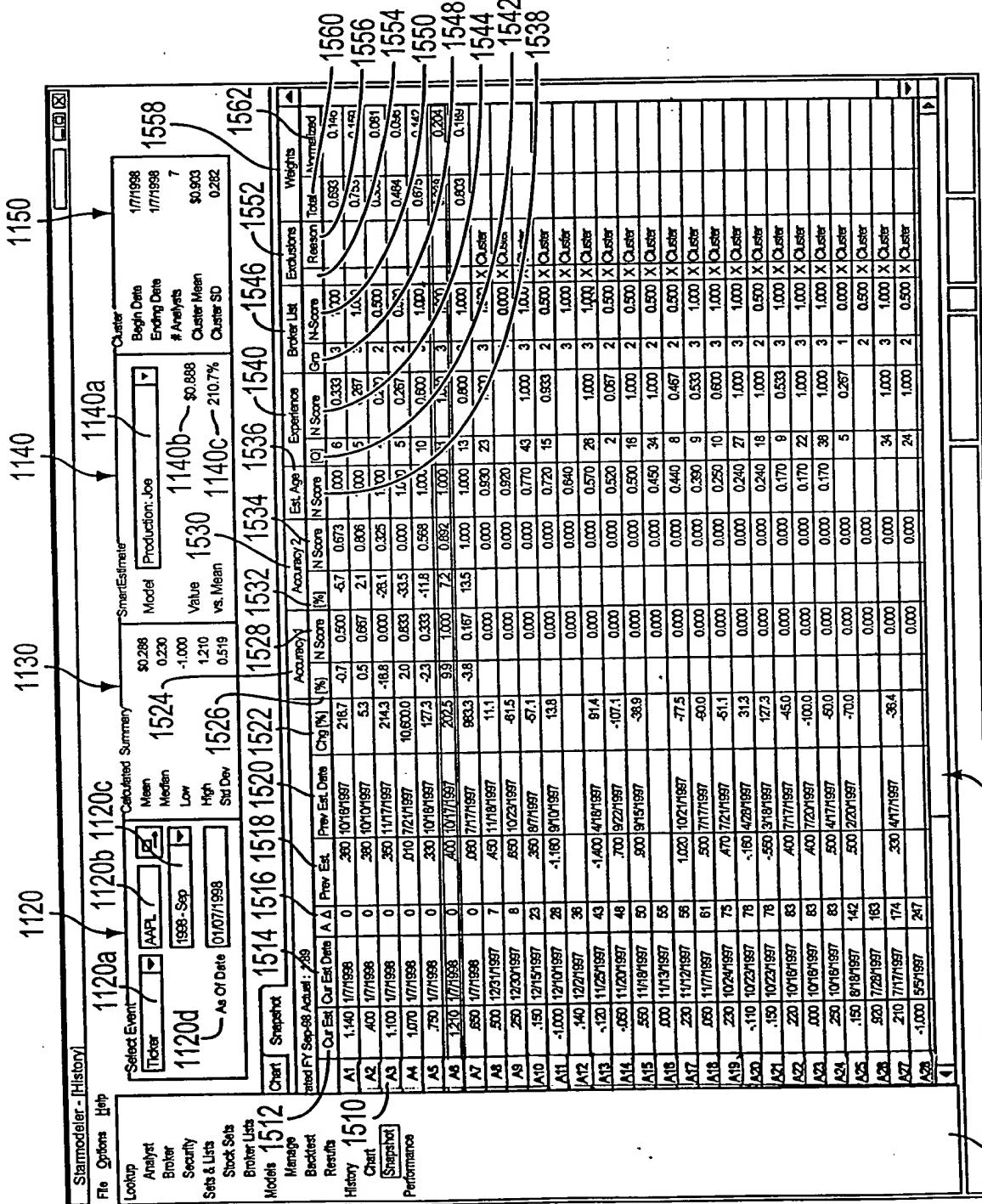
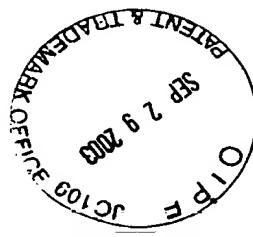


FIG. 12

115

- 210



2110 2120

Starmodeler

File Options Help

Lookup Analyst Broker Security Sets & Lists Stock Satis Broker Lists Models Manager Backtest Results History Chart Snapshot Performance

Name Copy Move Delete Joe General Accuracy 1 Accuracy 2 All Star Broker List Experience Estimate Age

Model Name Joe

Exclusions

Exclude estimates older than $100 \frac{1}{2}$ days old.

Exclude estimates more than 2.5 standard deviations from the mean.

Attempt to detect most recent cluster. Exclude all estimates prior to this point.

Cluster Definition

Adjacent estimates have a difference of no more than $3 \frac{1}{2}$ days.

Estimates are revised in same direction by at least $5 \frac{1}{2}$ percent

Cluster Definition

Fixed number of analysis: at least $4 \frac{1}{2}$ analysis

Variable number of analysis

Require 2 analysts when # of analysts is between 2 and 4

Require 3 analysts when # of analysts is between 5 and 8

Require 4 analysts when # of analysts is between 9 and 20

Require $20 \frac{1}{2}$ % of analysts when followed by 2 or more analysts.

Factor Weights

Accuracy 1: $40(19.51\%)$

Accuracy 2: $60(28.27\%)$

All Star: $0(0.00\%)$

Broker List: $35(17.07\%)$

Experience: $35(17.07\%)$

Estimate Age:

2130

2150

2170

2172

2174

2176

2178

2180

2182

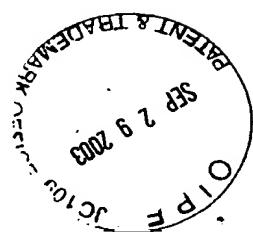
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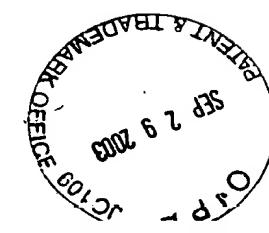
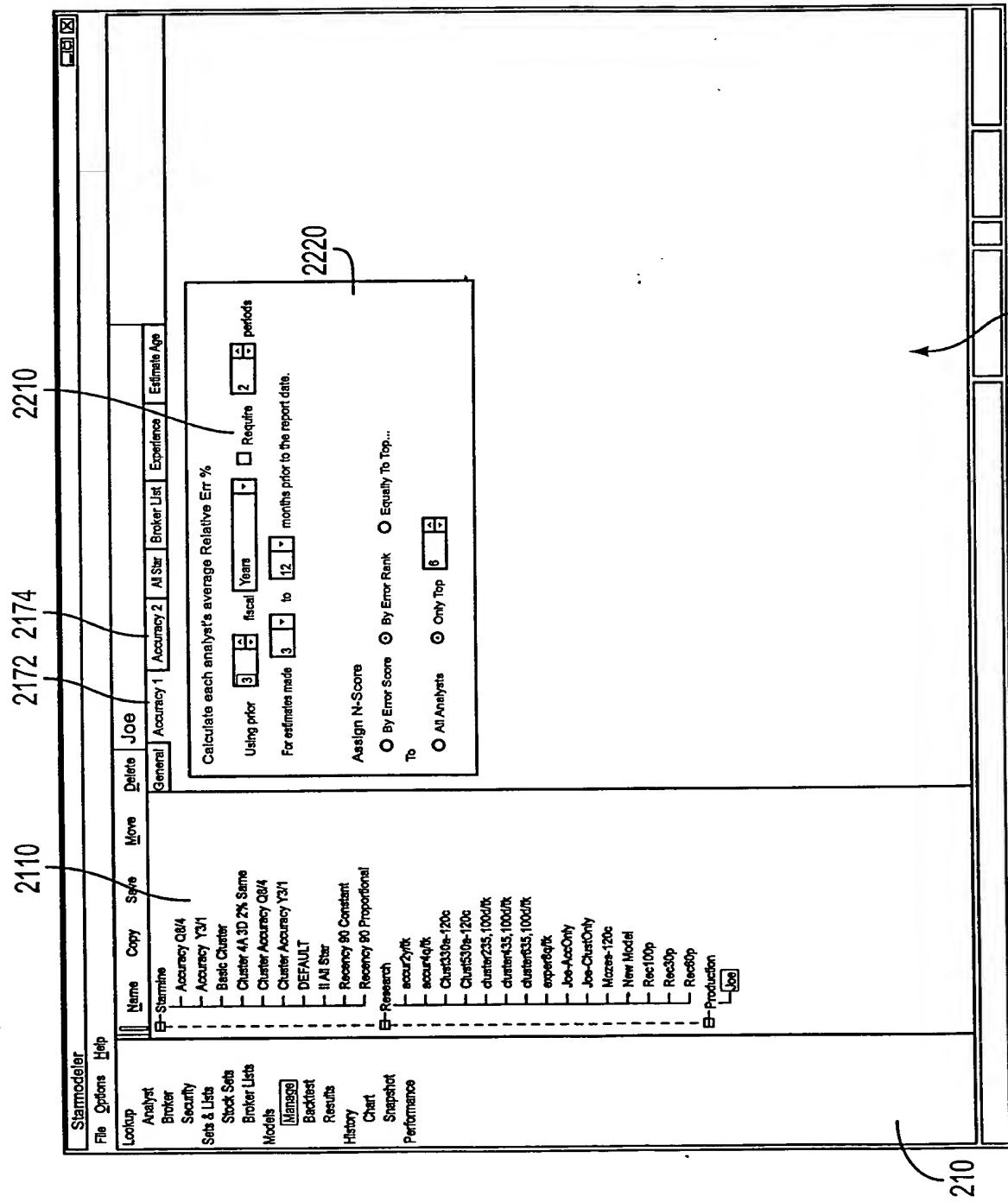
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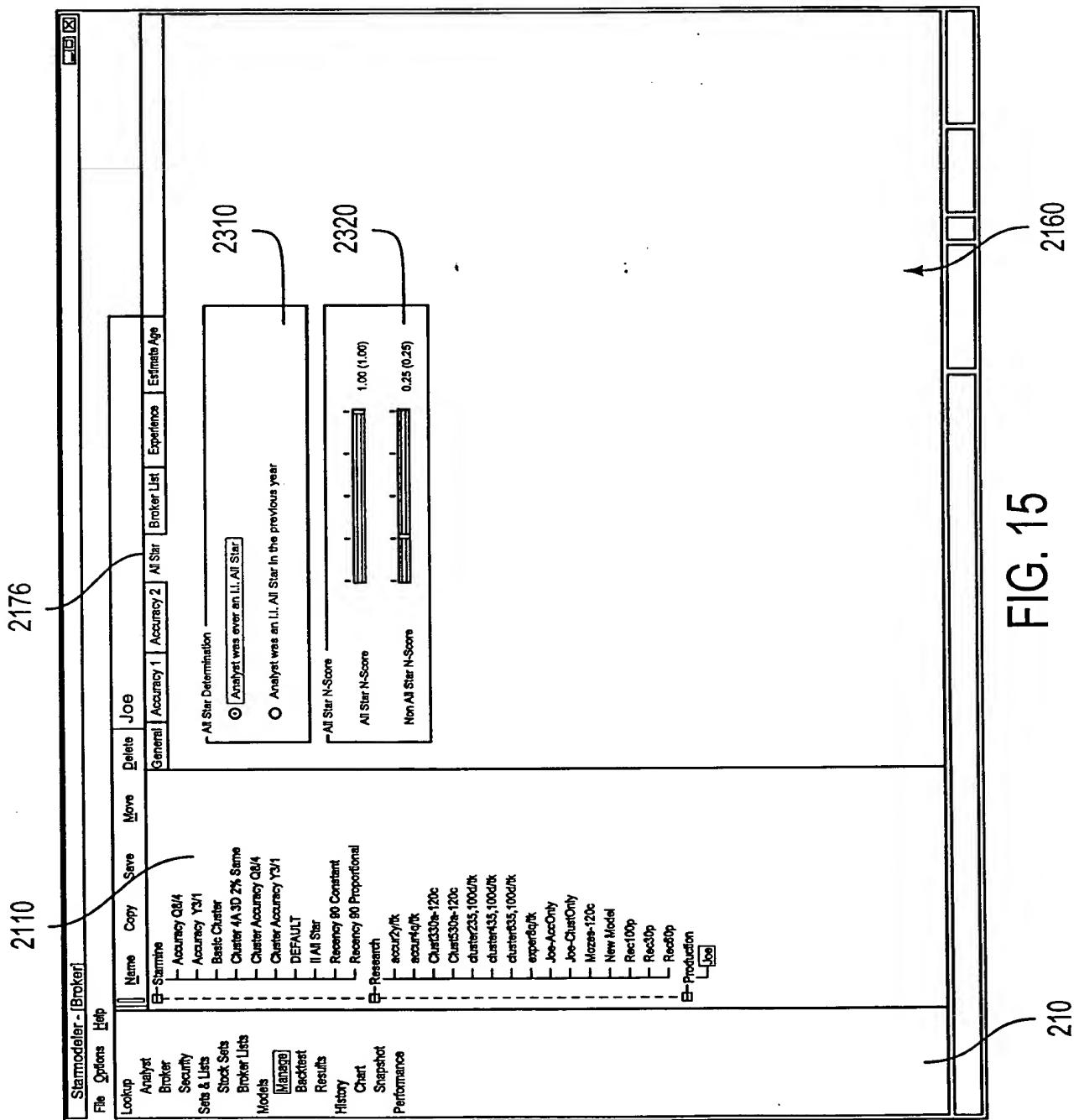
210

2160

FIG. 13







2110
2176
2310
2320
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FIG. 15
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Stammodeler - [Broker List]

Broker Name	# Analysts
Merrill Lynch	658
Salomon Smith Barney Inc	422
Lehman Brothers	398
Value Case Da Botsa	339
Credit Suisse First Boston Corporation	236
Morgan Stanley, Dean Witter Discover	335
Goldman Sachs & Co	285
Salomon Brothers	293
Paine Webber Incorporated	270
Nasbitt Burns U.S.	284

Group #3 N-Score 1.0000

Broker Name	# Analysts
Morton Research	1
NOVA RESEARCH	1
Nativity Investments, Inc.	6
Natexis Capital	1
National Bank Financial	105
National Securities Corporation	4
Nihavit - Adr Research	28
NIBC Bank, Na	22
Nicb Stockbrokers Ltd.	3
Needham & Company	60
NikligenTuckerBurner, Inc.	9
Nasbit	28
Nasbitt Burns Inc.	100
Nasbitt Burns International	4

Group #2 N-Score 0.5000

Broker Name	# Analysts
Adwest Inc.	71
Argus Research Corp.	145
City Dzzen Research: No Agenda	1
Fifth Third Ohio Company	30
Fourteen Research Corp.	18
Preferred Capital Markets	12
Standard & Poor's Corp	275
Tachwest, Llc	1
The Volume Investor	6
Unadjusted Data	1

Group #1 N-Score 0.0000

2160

FIG. 16

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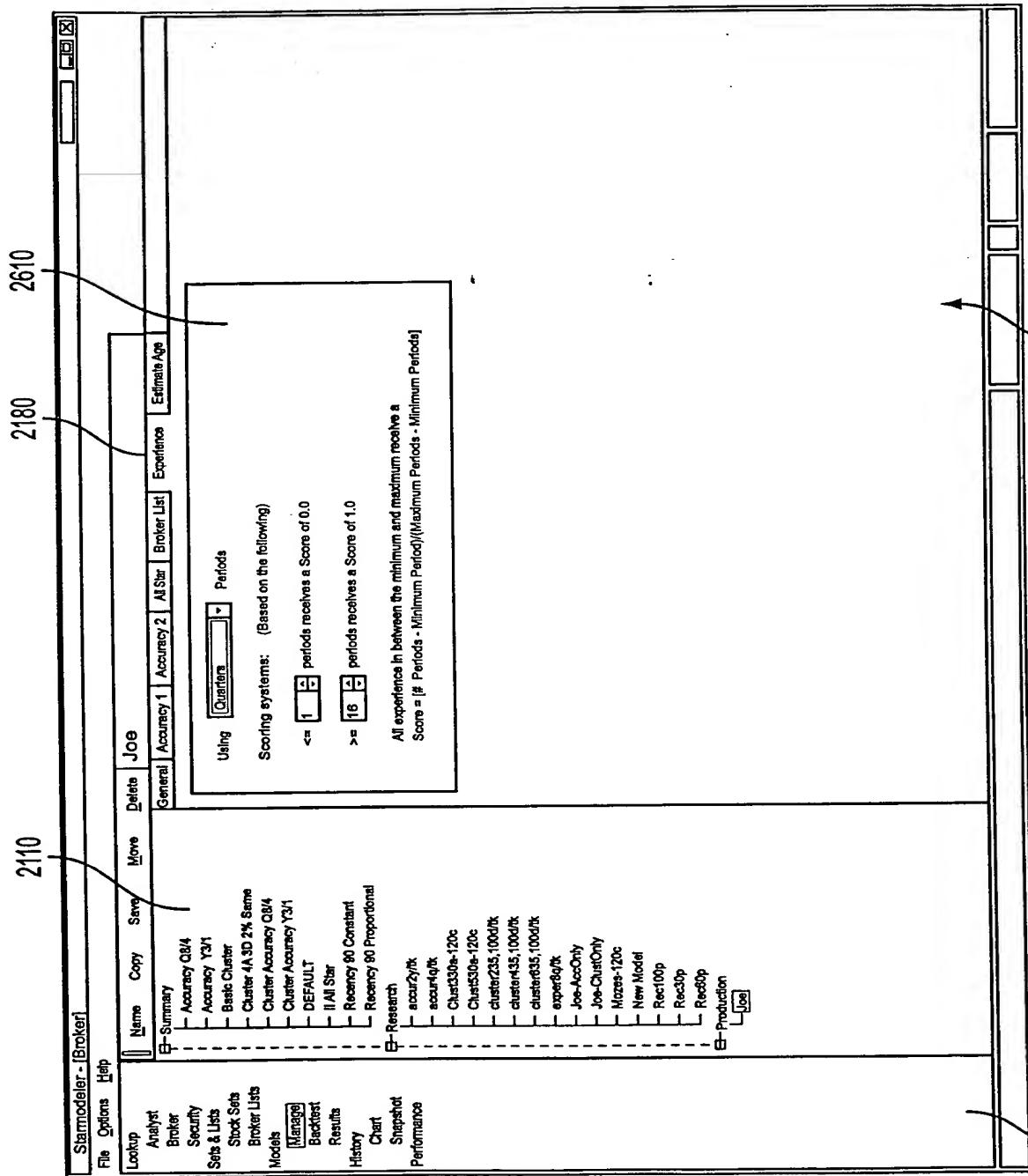
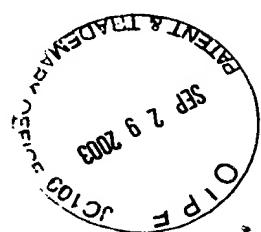


FIG. 17

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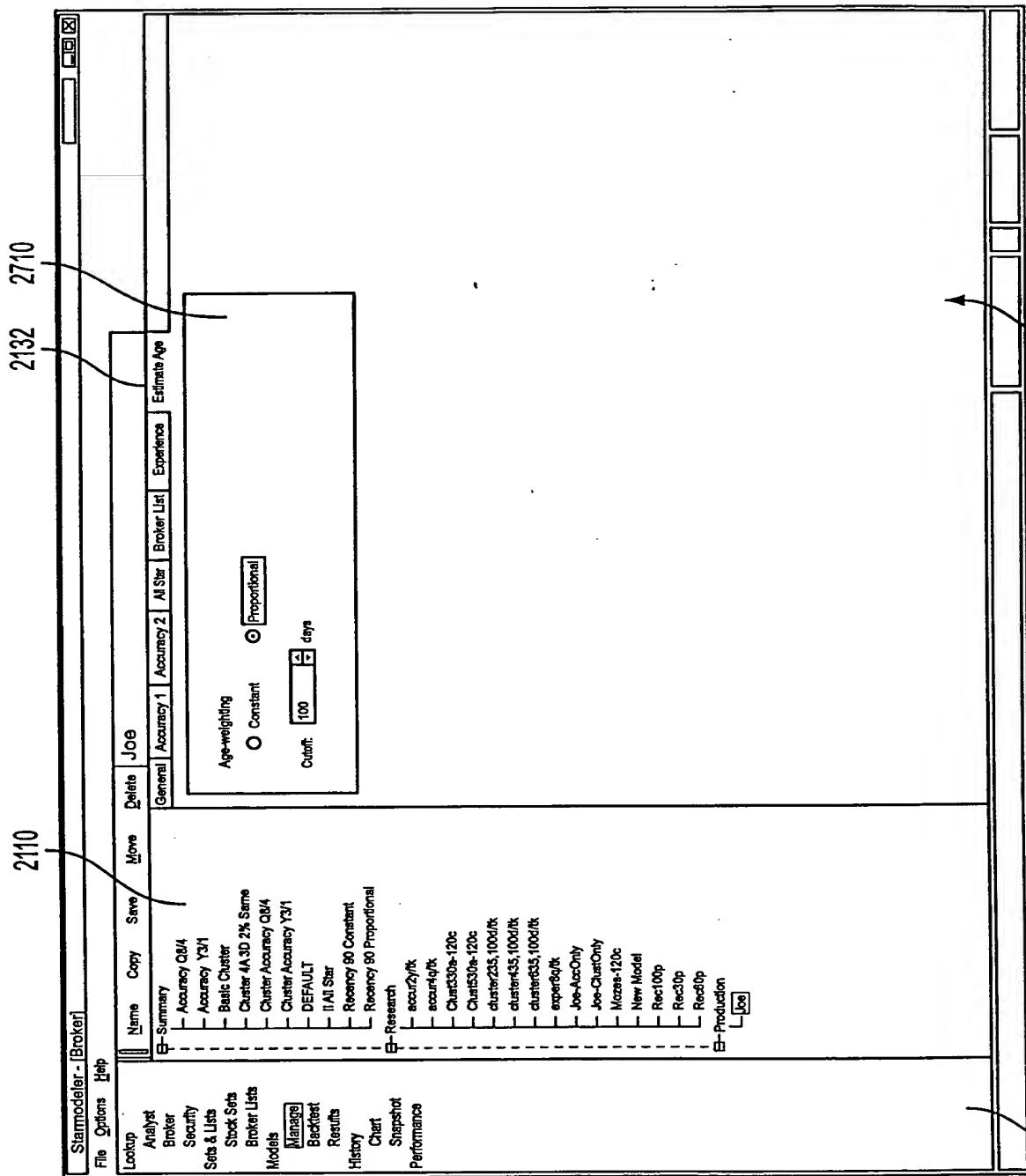
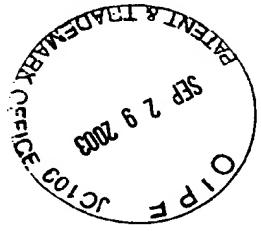


FIG. 18

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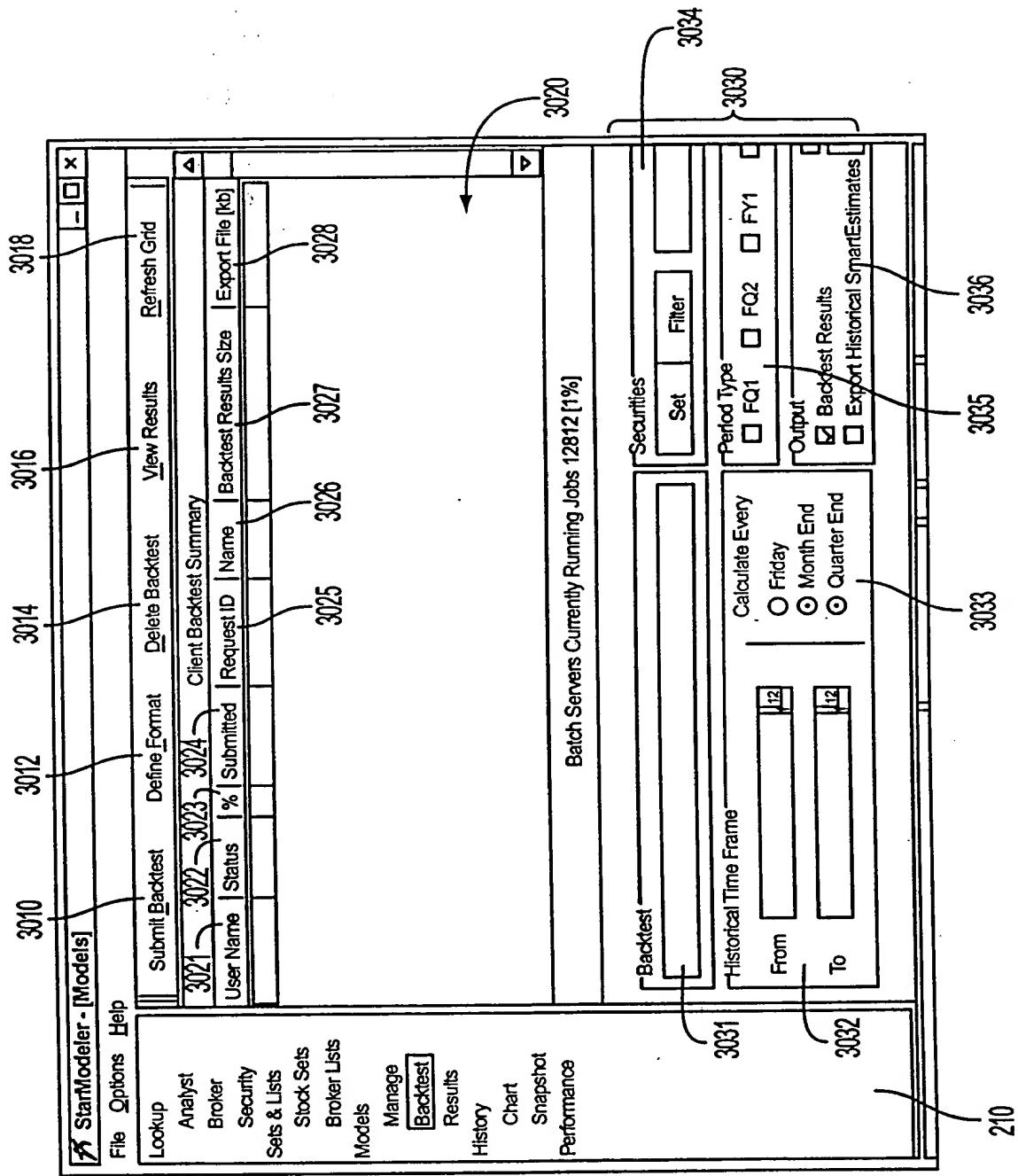


FIG. 19

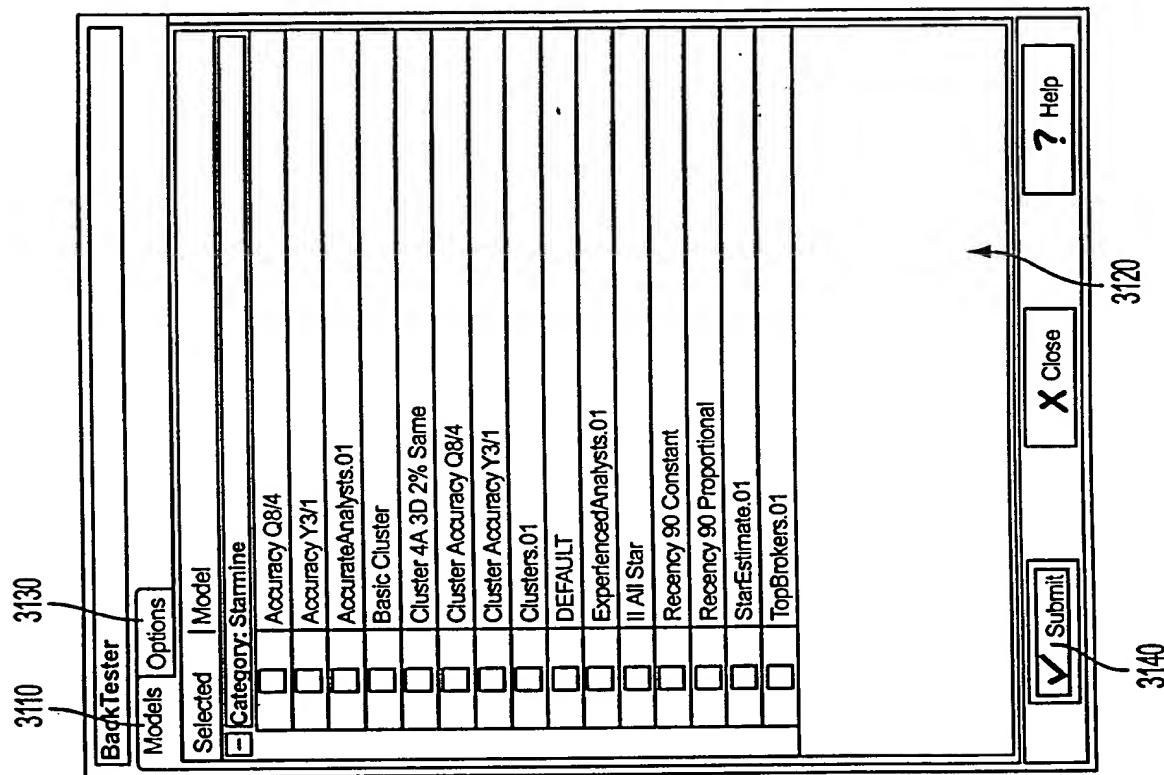
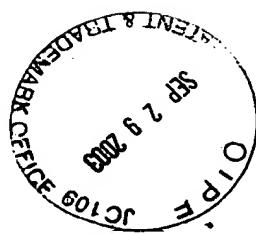


FIG. 20



3130

BackTester

Models Options

Backtest

3210

3220

Securities

Set Filter ▾

No Group Selected

3230

Historical Time Frame

From 1/1/95 ▾ 12 Calculate Every

To 12/31/99 ▾ 12

3240

Friday

Month End

Quarter End

3250

Period Type

FQ1 FQ2 FY1 FY2 F12M FY5

Output

Backtest Results

Export Historical Smart Estimates

Format ▾ Define/Select

3260

?

Help

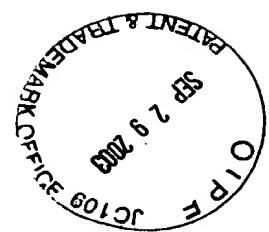
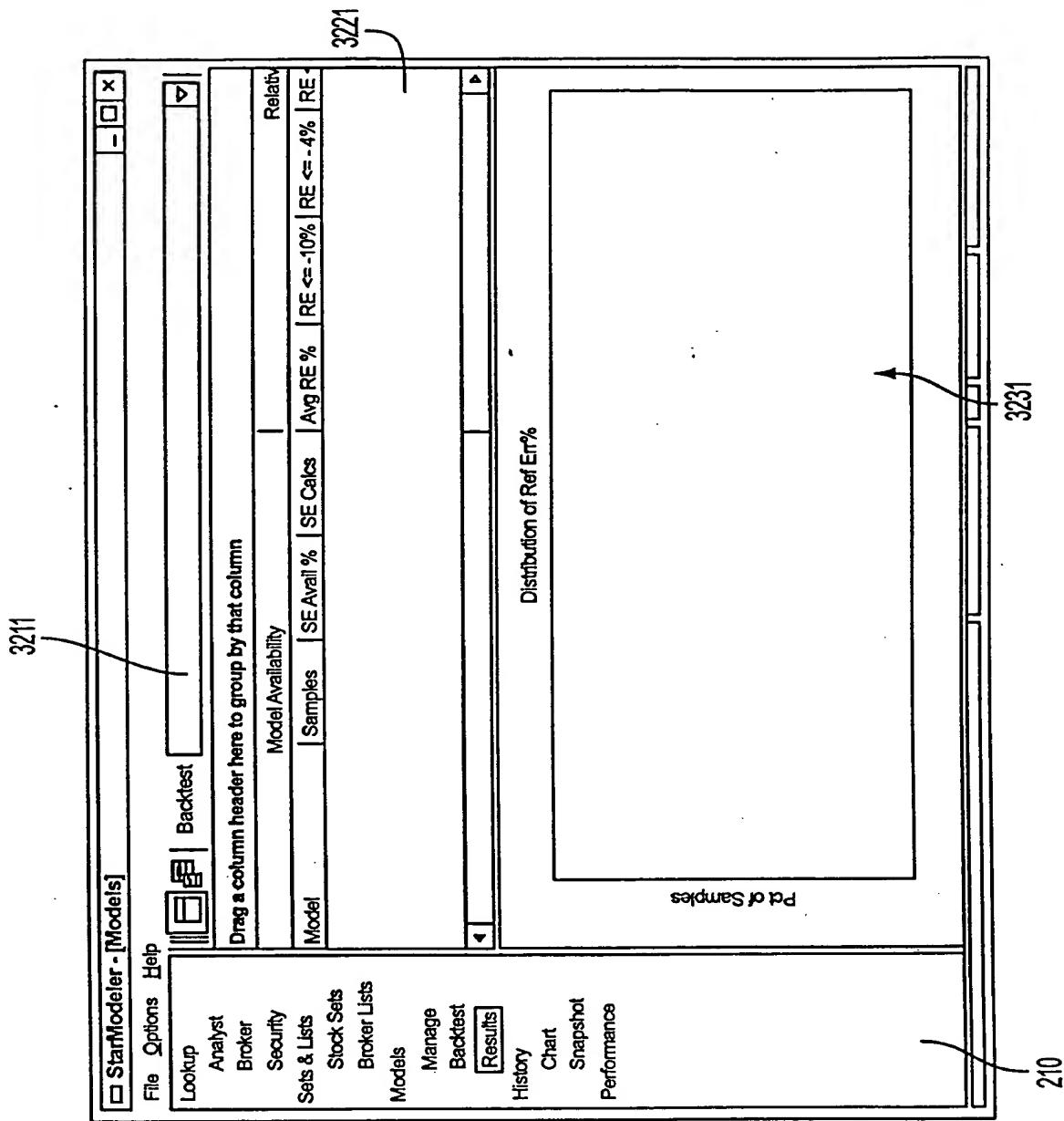
Close

Submit

FIG. 21



FIG. 22



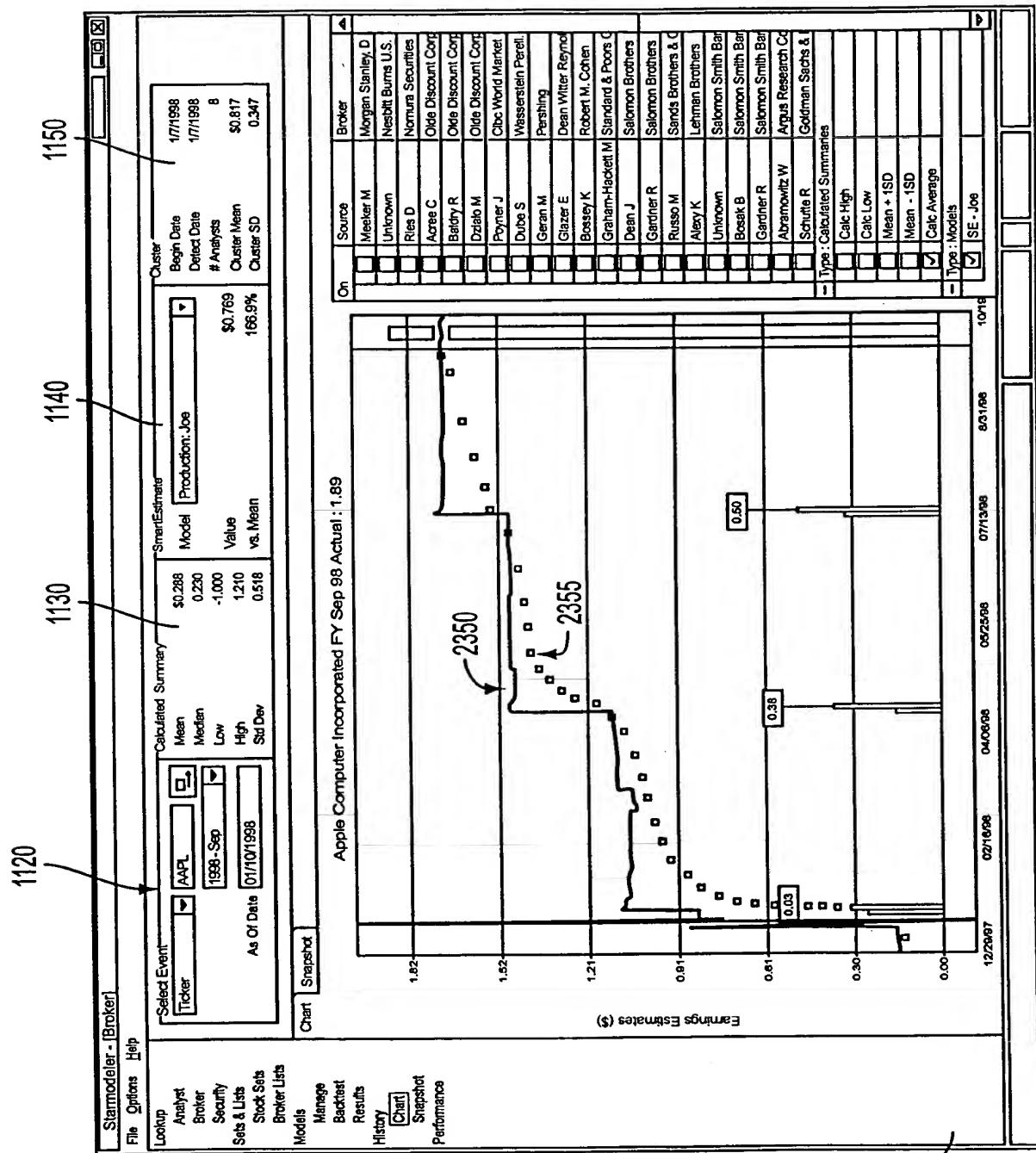


FIG. 23

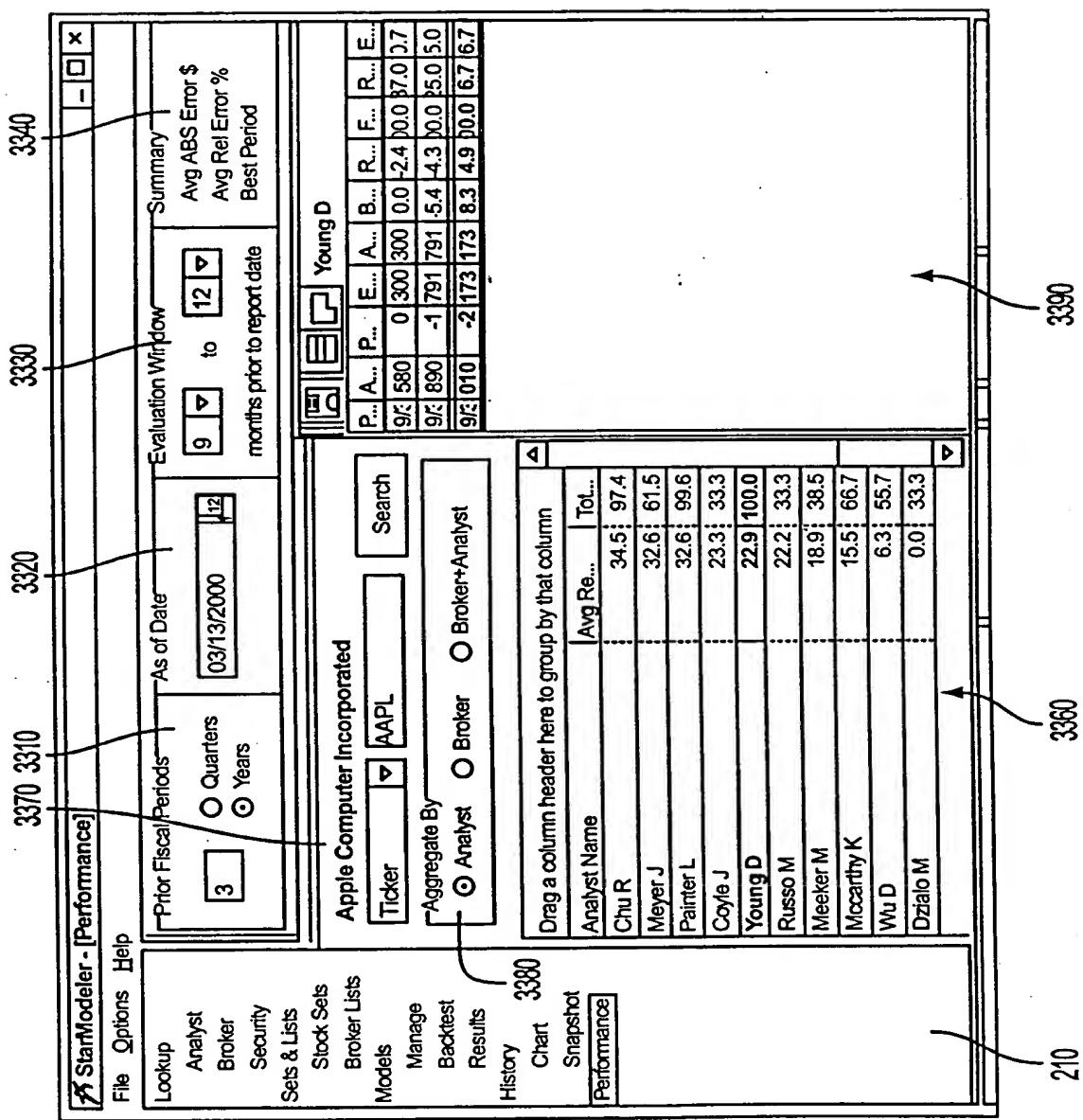


FIG. 24



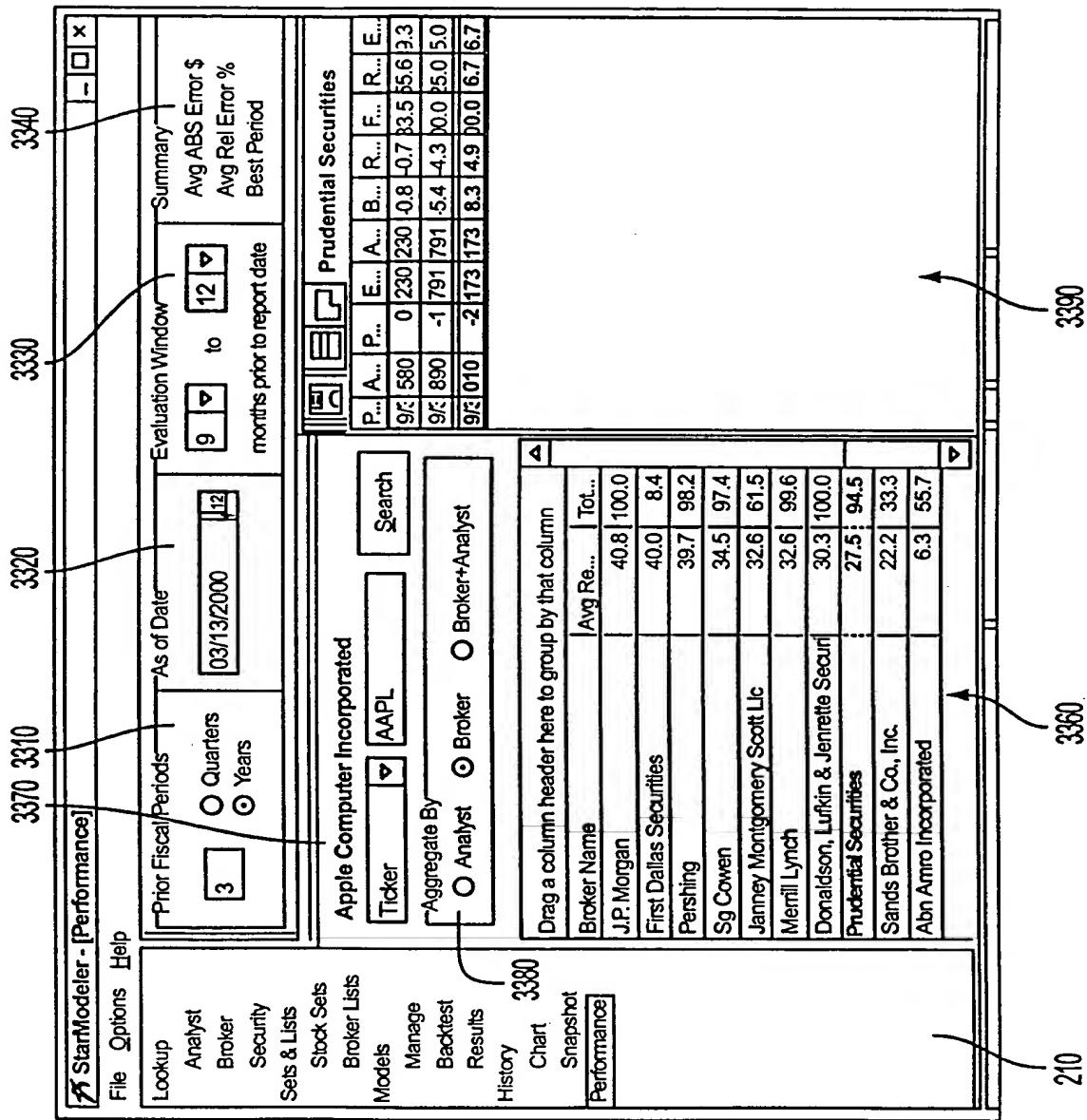


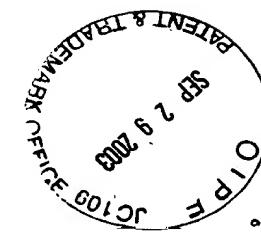
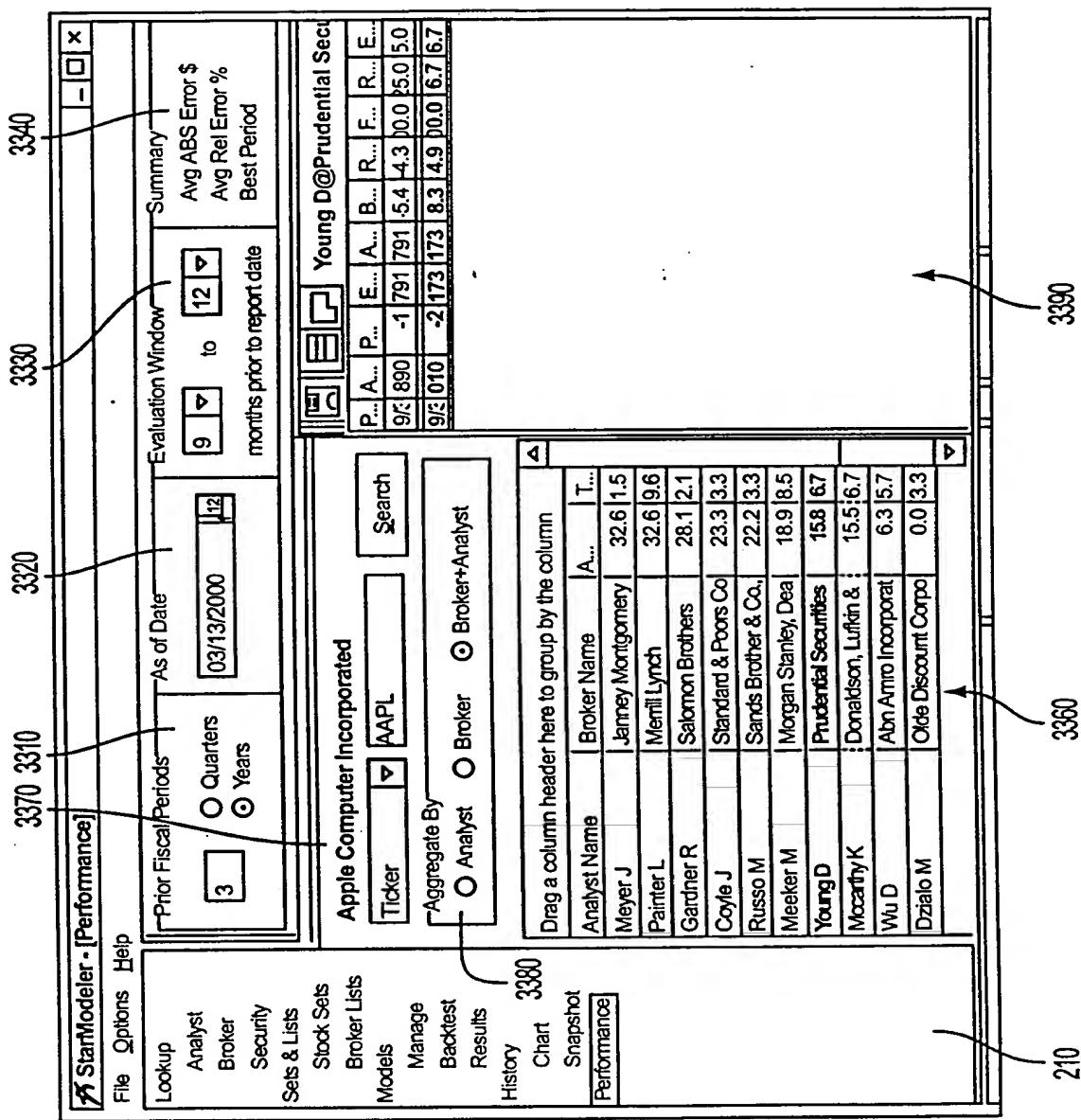
FIG. 25

- 333 -

- 240

- 300





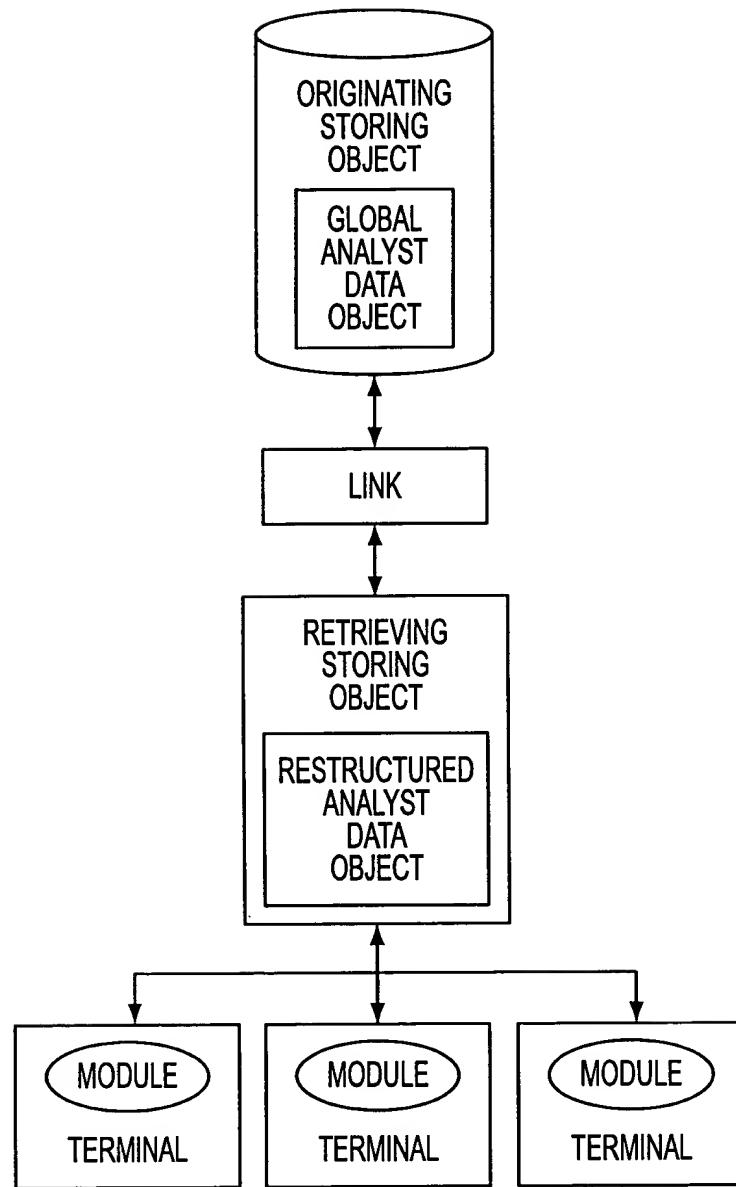
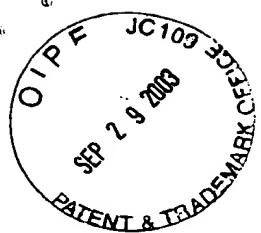


FIG. 27

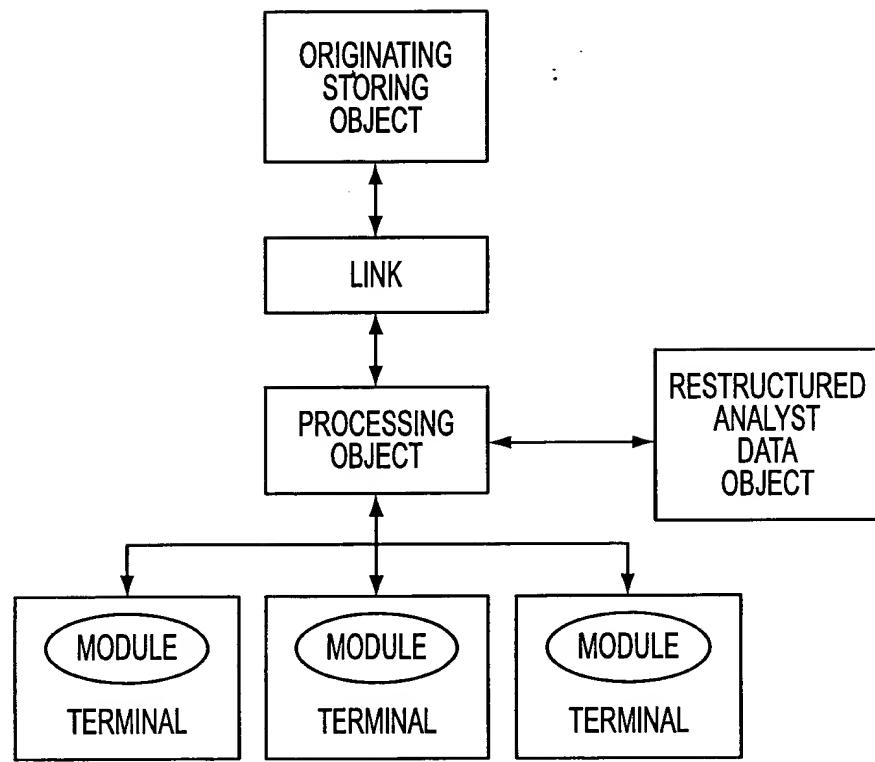
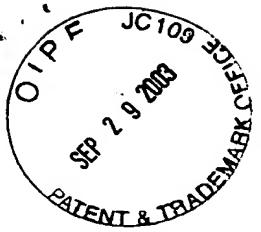


FIG. 28

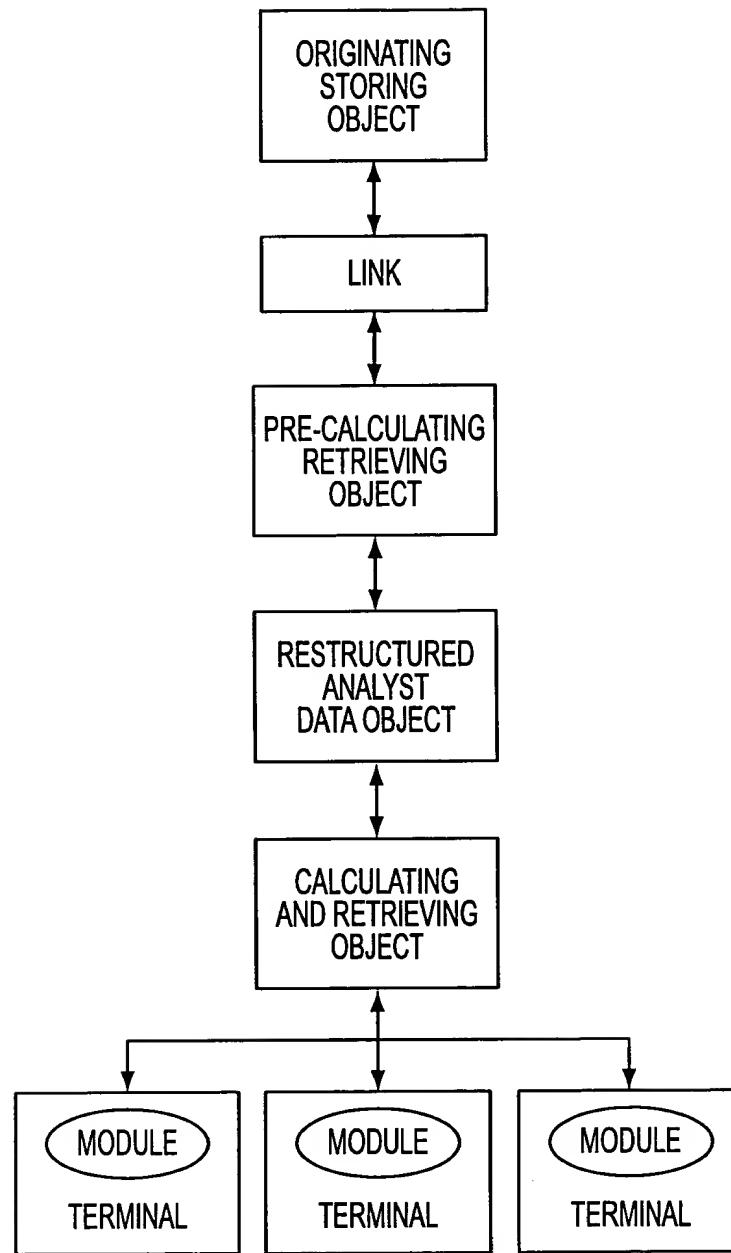
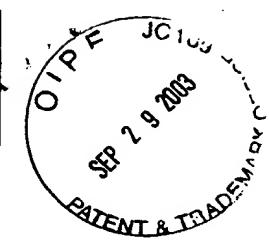


FIG. 29

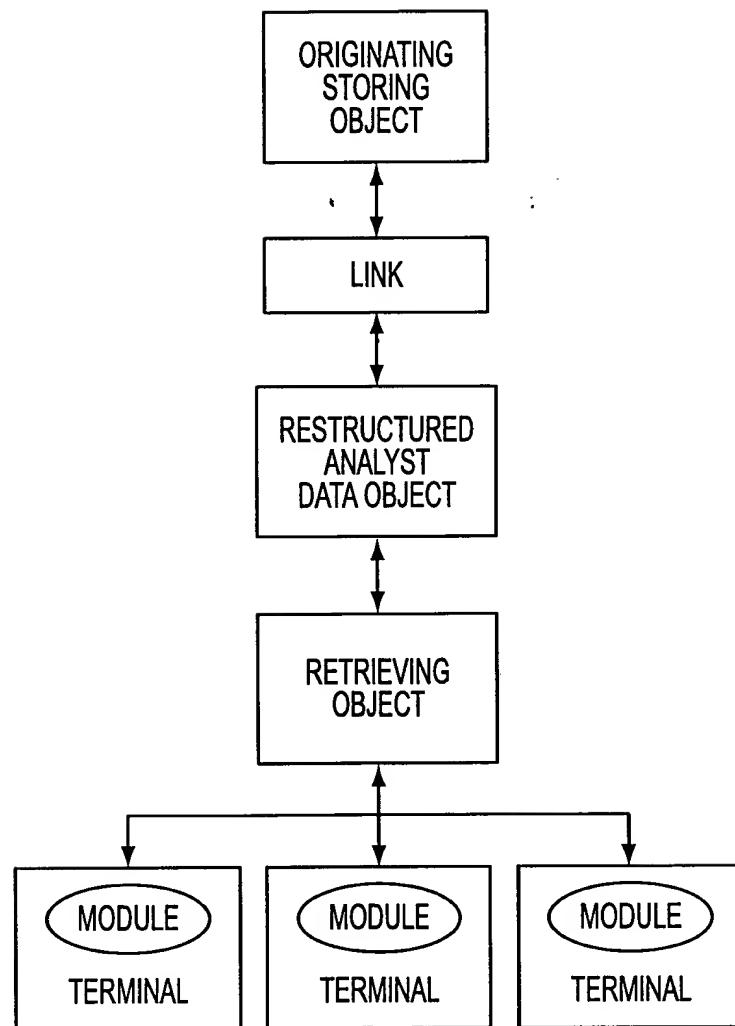
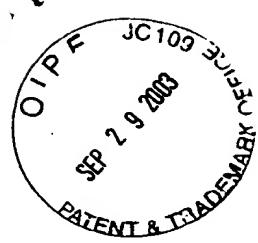


FIG. 30

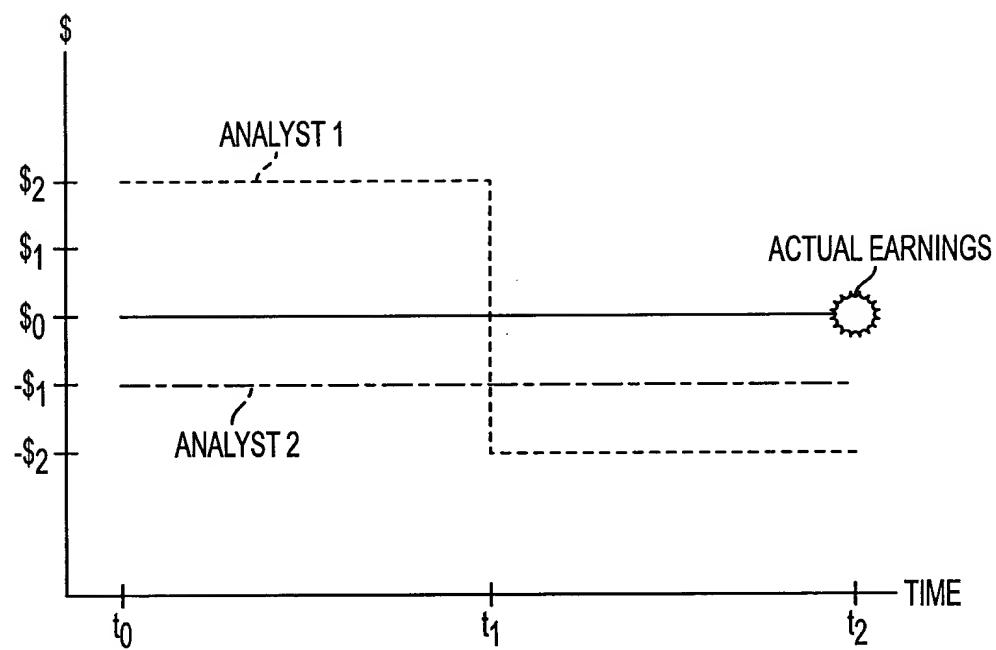
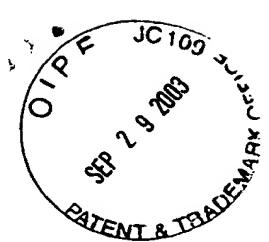


FIG. 31

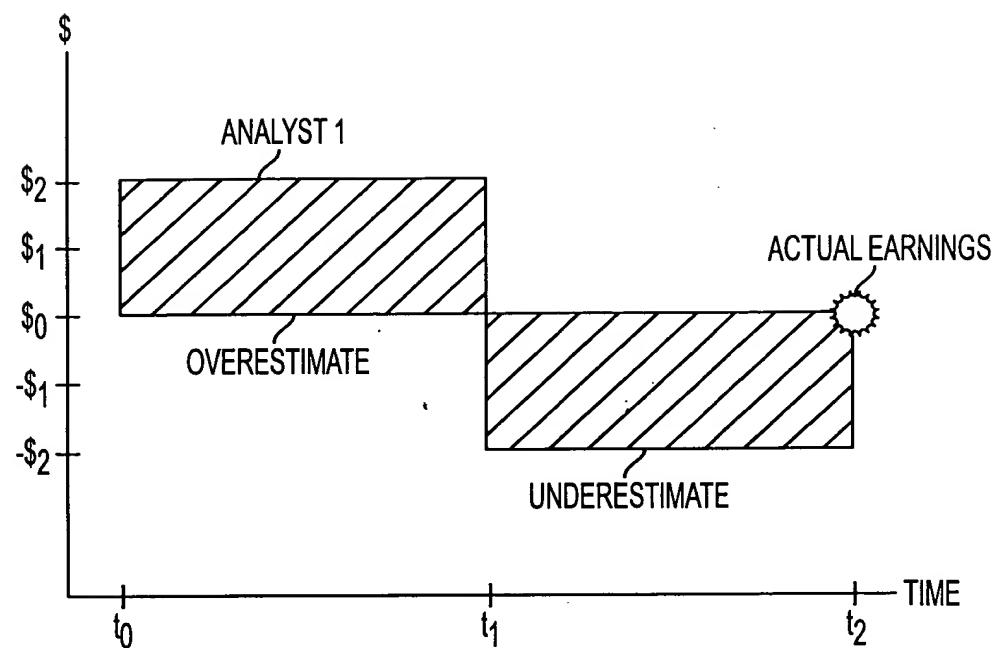


FIG. 32

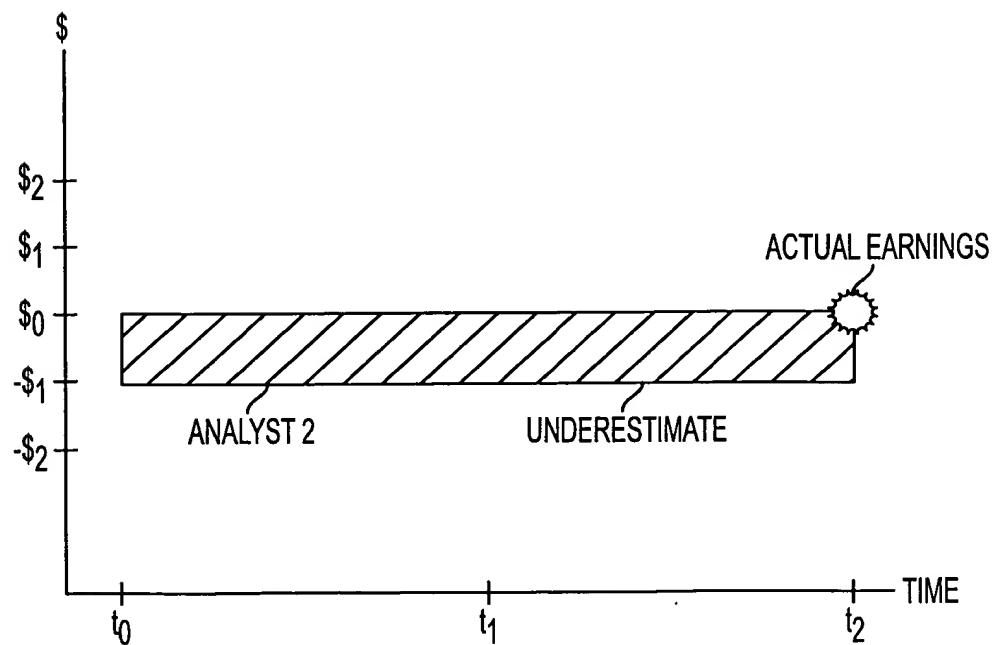


FIG. 33

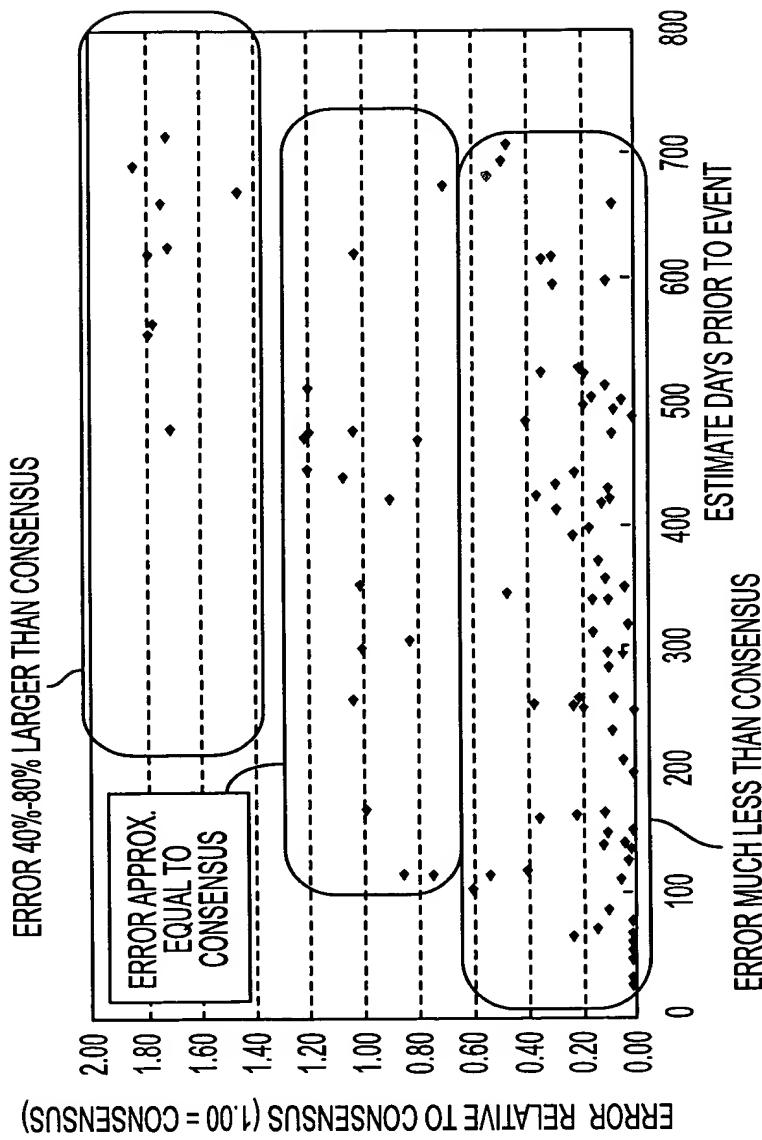


FIG. 34

